

FOREIGN OWNERSHIP, CONTROL, OR INFLUENCE (FOCI) Cover Sheet

The University of California (University) has determined that performance of the work described in this solicitation will require access to classified information, unescorted access to security areas, access to special nuclear materials (SNM), or generation of classified matter. For each of these circumstances DOE requires that the University obtain disclosures of any foreign ownership, control, or influence (FOCI) over the proposed Subcontractor and all tier-parent firms, including the ultimate parent firm, and any proposed lower-tier subcontractor firms, including all of their tier-parent firms and the ultimate parent.

To provide the information needed by DOE for the FOCI determination process, the Offeror whose proposal is selected for award must submit to the University completed FOCI Representations and Certifications, together with supporting information, for itself, all tier- parent firms, all lower-tier subcontractors associated with the proposed subcontract, and all the lower-tier subcontractor tier-parent firms.

Attached are the following forms to assist you in this effort (these forms may be reproduced).

1. Summary FOCI Data Sheet (Part I) and FOCI Submittal Package Checklist (Part II)
2. Certificate Pertaining to Foreign Interest
3. Guide to Completing Certificate Pertaining to Foreign Interest*
4. U. S. Department of Energy List of Sensitive Countries *
5. List of Owners, Officers, Directors, & Executive Personnel (OODEP)
6. Representative of Foreign Interest (RFI) Statement
7. Shareholders

* These forms are provided for assistance and need not be submitted as part of your FOCI certification package.

⇒ **If your firm (or any tier-parent firm, or any lower-tier subcontractor firm or their tier parent) possesses a current DOE or DOD Facility Clearance, contact the LANL Procurement Specialist for additional instructions before completing the attached forms.**

Remember:

- Individual FOCI Representations and Certifications documentation is required for the offeror and each tier parent firm, including the Ultimate Parent.
- The FOCI List of Owners, Officers, Directors, & Executive Personnel (OODEPs) form is required for the offeror and each tier-parent firm, including the ultimate parent.
- Each form must be signed by an officer of the entity listed on the OODEP List.
- The University requires **two copies** of the submission package for **each** firm reported, including the Offeror, each tier-parent firm(s), and the ultimate parent.